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ABSTRACT

A discussion of educational change as a four-phase process is offered in this bulletin. Strategies for initiation, implementation, institutionalization, and impact, with an emphasis on the first two stages, are described. Also included are a discussion of myths of change and an annotated bibliography of seven sources on educational change. (23 references) (LMI)

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FACTORS TO CONSIDER WHEN FACILITATING EDUCATIONAL CHANGE

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FACTORS TO CONSIDER WHEN FACILITATING EDUCATIONAL CHANGE

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Educational change continues to be a major topic of discussion. Journals, periodicals, and books have been written about educational reform, restructuring, teacher empowerment, school-based management, and the demand by business for quality workers who can compete in an international market place.

The pressure felt by federal and state officials to restructure education has passed to local school administrators as state and federal government work to adopt a variety of reforms. Those reforms include new standards affecting teacher certification, academic and vocational course offerings, school calendars, early childhood education, graduation, special education programming, and teacher performance pay. Most of these mandated reforms have been designed by non-educators in an attempt to react to public opinion on complex issues with little thought to their implementation. These and other educational changes would be less difficult to implement if the work force, economy, social expectations, and societal values were not constantly changing.

Students are more diverse and distressed than ever before. The morning newspaper is a daily reminder of the increase in sexual and physical

abuse, teen suicides, substance abuse, and teen pregnancies. In an attempt to cope with these and other problems, society is looking to the schools for more than the traditional three R's. Services being demanded include before and after school child care, preschool for 3- to 5-year-olds, and a wide range of programs and courses including such social issues as drug prevention, sexual orientation, peace, and the environment. School administrators, struggling to stretch existing budgets to provide programs which meet the needs of their constituents, find themselves in fiscal crises as taxpayers regularly reject requests for additional funds through tax levies and bond referendums. In trying to honor these demands, schools and their school districts become unfocused, overloaded, and overwhelmed, not knowing where to begin or to which pressure group to react.

To meet the challenges of the 21st century, a special type of educational leader will be needed; a leader excited by the challenge and armed with the vision and skill needed to facilitate change. Unless school administrators remain sensitive to the need for change, alternatives to public education will grow in popularity until public education as we know it today no longer exists.

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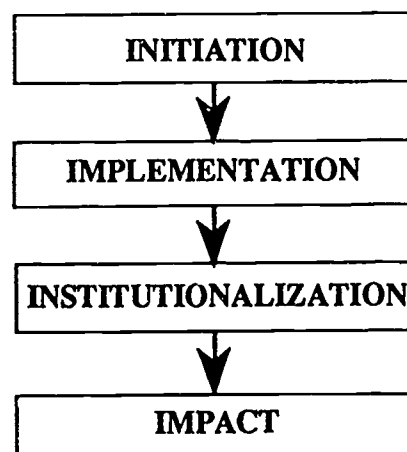
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During the past three decades, more national attention has been focused on the creation and implementation of educational innovations than at any other time in history. In the 60s, colleges of education were engrossed in the development of a wide range of educational innovations. The decade of the 70s was spent failing to put most of those innovations into practice. This failure was not so much a reflection on the innovations themselves, but rather the inability of educators to implement those changes. As a result, "think tanks" across the nation spent the 80s studying the change process to determine why educational innovations fail.

The continuing cry for educational reform strongly suggests that implementing change that affects teaching and learning will be the challenge of the 90s. Unless educators put into practice what was learned in the 80s, the chances of success in implementing educational change are limited. Educators can enhance those chances by gaining a better understanding of the change process and the factors that affect it. School administrators must become knowledgeable about change theory and build a collaborative working relationship with building level personnel. For most, acquiring the needed skills will require considerable study or review.

Educational change consists of two basic components, "what" and "how." To be successful, the change agent must understand both aspects. We may know what we want, but be totally in the dark as to how to achieve it. Conversely, we may be extremely skilled at managing change, but may not have a clear picture of what is needed. Knowing both the "what and the how" when implementing change is extremely difficult.

We often think of change as an event, when in fact it is a process. Students of the change process suggest several distinct phases in the change process, each being important to the overall success of the innovation. While experts disagree over the exact number of phases, educational change in this paper will be described as a four phase process:



A brief definition of these terms will prove helpful:

- 1) **Initiation** or adoption is the first stage leading to the decision to adopt a particular innovation. Initiation occurs when a person or a group of people make a conscious choice.
- 2) **Implementation** is putting the innovation or program into practice.
- 3) **Institutionalization**, continuation or incorporation occurs when the innovation has been assimilated into the system so it becomes the status quo.
- 4) **Impact** or outcome is the actual degree to which the innovation has had an impact upon the organization. That impact can be positive or negative.

The first two phases, initiation and implementation, will be given the greatest amount of attention as they are critical to the success of stages three and four, institutionalization and impact.

INITIATION

The decision to initiate or adopt a particular innovation is the first critical phase of the change process. When sufficient thought is not given to an innovation, its chance of success is significantly diminished. A great deal of study must occur before an innovation is selected. Unfortunately, educators are notorious for not spending enough time reading or researching a topic. Because of the

many demands placed on them, they frequently find that the most efficient route to take is to adopt the latest "fad" as their new change effort. While this may not always be bad, even good ideas need to be custom-fit to the needs of a specific school or school district. The following factors are important and need to be acted upon during the initiation phase.

Create a Vision

To initiate meaningful change, an organization must create a vision based on the shared values and beliefs of its stakeholders. To do this, those charged with developing the vision must have a clear understanding of the school district's mission. Aside from being poorly thought out, many educational innovations are not related to the stated mission of the district. If innovations are to succeed, they must be developed in relationship to values, goals, and outcomes of the organization as expressed in its mission statement.

Communicate the Vision

Once created, the vision must be communicated in a clear and concise way to those on whom it will have significant impact. When faced with the prospect of another change, teachers often experience a certain degree of fear and mistrust simply because they have had so many negative experiences with past innovations. Developing and sharing a clear picture of what the "new state" will look like, and how specific changes relate to it, helps avoid confusion and reduce fear.

Identify the Motive for Change

Educational leaders are confronted by many self-interest groups demanding that specific changes be made in a wide variety of areas. These internal and external pressures frequently play a significant role in the adoption of innovations. Studies have shown that the purpose behind the selection of an innovation has considerable bearing on the probability of its success. Innovations adopted in response to a specific need have a much higher success rate than those adopted under pressure.

Unfortunately, many innovations have only a limited chance of long-term success because they have been initiated for "symbolic" purposes. Administrators adopt them as a quick fix to reduce community and political pressure or simply as an attempt to look innovative. Likewise "opportunistic" innovations, such as those motivated by the immediate availability of federal funds, have little chance of long-term success. While supplemental income of this type can be of immediate benefit to a district, usually the time to submit a request for a proposal (RFP) is too short to allow for adequate planning. Consequently, these programs are often implemented without sufficient thought, and, when special funding runs out, the innovation is discontinued.

Insure Meaningful Participation by Stakeholders

Educational change is most likely to succeed when viewed as a realistic remedy by the majority of stakeholders. In order to gain consensus, stakeholders must be provided an opportunity to openly discuss problems and develop clear goals and objectives that will lead to a solution of the problem. Individuals responsible for facilitating the change must be open to changes, develop group trust, and be sure that no secrets or surprises will be forced on the group at a later time.

Involve the Community

Community involvement and the ability to tap the pulse of the public is becoming increasingly important. School administrators must be sensitive to individual groups that desire a voice in their governance while at the same time avoiding the tendency to overreact to the pressures created by only a few people. Scrutiny must also be given to innovations presented by narrowly focused but powerful self-interest groups.

Consider the Impact on the Individual

Change continues to be a dominant theme in our lives because it affects our traditions, beliefs, and behaviors. The probable impact of an innova-

tion on its primary users must be analyzed and given careful consideration in terms of its affect on tradition, job function, personal autonomy, and the individual's personal sense of belonging and status. All of us become nervous when change occurs in the hierarchy. Realizing that change is inevitable, we remain unsure as to how it will alter our current routines and job status. Administrators must strive to develop a climate which fosters continuous school improvement where innovation is accepted as a standard practice.

Seek Simple Solutions to Problems

As teachers view the educational change process, they look for support and answers to everyday classroom problems such as scheduling, discipline, and testing. Previous innovations have frequently had a high personal cost for teachers in terms of time and effort. Too often the time and energy spent learning the "new system" was far greater than the impact on teaching and learning improvements.

In education, teacher participation in decision making is critical because teachers are often closest to the problem and are often able to suggest practical solutions at little or no cost to the school district. Teachers participating in the initiation process are more willing to invest time and energy during implementation. As the most frequent implementors of innovation, teachers must be made to feel safe enough to impose the changes upon themselves.

The scope and complexity of the change are also critical attributes. Research has shown that, contrary to what is sometimes thought, large-scale change is usually more successful than many small changes.

Develop Realistic Time Lines

The length of time it takes to develop and adopt an innovation varies greatly. Major change may take 3-5 years to implement. Those affected must have a realistic time line defining each phase of the change process to decrease the probability of hasty decisions and inadequate support. A time line also

allows the individuals evaluating the process sufficient time to determine whether the implementation has been successful and assess its impact.

IMPLEMENTATION

The second phase of the educational change process is implementation or putting the innovation into practice. This is an extremely critical stage but often receives only limited attention. Learning how to guide people through the change process is not an easy task. Many school districts have spent considerable time developing an innovation, only to have it fail because not enough thought had been given to implementation.

Smaller districts frequently experience difficulty during the initiation phase due to a lack of highly skilled program specialists found in larger school districts. Large districts, on the other hand, find the implementation process a unique challenge because they must rely upon large numbers of building administrators to promote change. Gaining adequate support from this group is often difficult, particularly if previous attempts at innovation have failed. Clear expectations and exact parameters must be identified and outlined for both administrators and teachers.

Some of the factors which need to be acted upon during the implementation phase are outlined below.

Provide Clear Continuous Communication

Clear continuous communication is essential. People affected by change must have a clear understanding of exactly what will happen to them and how they will benefit personally. The change initiators have already spent considerable time developing the innovation, hence, it makes sense to them. This same understanding must be given to others so they can see the purpose and value of the proposed change.

Be Sensitive to Individual Concerns

Sensitivity to the concerns expressed by those affected by the change will help to insure greater

support and participation. The Research and Development Center for Teacher Education at the University of Texas has developed a special technique to study the impact of change on the individuals during implementation. The Concerns Based Adoption Model (CBAM) studies three specific phases in depth: self, task, and impact.

During the self phase, individuals are concerned about professional status, their role within the organization, and personal rewards. "I" and "me" questions are frequently asked. "How will this disrupt my daily routine?" "Will it be too difficult for me?" "When will I have time to learn the new innovation?"

When convinced that the innovation will not be personally harmful, focus shifts to the *task* phase where individual thought is given to method and process. "Will the task be too complex?" "Will I be able to learn the process?"

Realizing the personal benefits and feeling assured that the task will not be too difficult to manage, the individual shifts attention to what studies show to be the most important consideration for teachers: the *impact*. During this phase, the primary question is "What effect or benefit will the change have on the organization or target group?"

In the final analysis, the change must have a significant impact on teaching and learning. If teachers do not feel that the change will result in meaningful student gains, the innovation will probably not succeed. Understanding these stages will help the change agent guide individuals through the change process more effectively.

Consider Implementing in Stages

The nature of change, whether simple or complex, has a significant effect on personal resistance. Although the change process occurs over time, the innovation itself must be embraced full scale from the onset. If decisive steps are not taken early, those involved will see the implementation as purely symbolic. It is sometimes wise to consider implementation in stages, particularly if the inno-

vation is extremely complex. Each step should be carefully considered and focus on a specific goal or objective.

Obtain a Strong Advocate

Implementation cannot occur without an advocate, i.e., top administration, the board of education, or special interest groups such as teacher unions, parent groups, or the PTA.

Central administrative support and involvement is crucial, for without it, very few innovations are ever institutionalized. On-going support must be given to those being asked to implement the changes. If that support is not forthcoming, implementation will be difficult. Commitment to change must be demonstrated regularly, and those implementing the change must be encouraged, recognized, and publicly rewarded throughout the change process.

Provide On-Going Staff Development

Change requires learning new methods. If adequate support is not provided, needed and well-intentioned change initiatives can create significant problems for those who are asked to implement them. Embedded within the entire structure of the change process should be staff development, providing a variety of on-going and interactive opportunities. These activities should be part of a continuing education process aimed at clarifying and refining concepts, skills, and behaviors.

Recognize Uniqueness

As school-based management moves to the forefront, the question is should an innovation be considered on a district-wide basis or on a single building basis. This decision must be made prior to implementation. Some innovations are mandated, some are optional or voluntary, some are specific, and others have room for individual adaptation. If buildings are allowed to deviate from the original innovation, the parts of the innovation that are flexible and subject to building modification must be clearly identified.

Understand Resistance to Change

No discussion of change would be complete without covering the topic of resistance. People are creatures of habit, and, as such, they resist any change that requires the development of new skills and ideas, the acquisition of beliefs that conflict with their own personal philosophies and values or interrupt traditional behaviors and routines.

Resistance to change is voiced in many ways. The change agent must recognize these reasons and find viable solutions to them. The following list contains some of the most common causes:

- * Fear of not succeeding
- * Fear of loss of control
- * Fear of appearing incompetent
- * Change appears too complex
- * Uncertainty caused by a lack of information
- * Lack of trust
- * Submitting to change suggests that things done in the past were wrong
- * No desire to "start all over"
- * The new innovation will create more work than the old
- * Jobs currently understood will become more difficult
- * Belief that the old ways aren't bad
- * Individuals have no shared vision of what the change will accomplish

Resistance is a natural reaction to change and should not be viewed negatively. Accepting resistance as a part of the change process enables the change agent to anticipate resistance and develop strategies which can help alleviate many of the fears associated with change. The following may be helpful in overcoming resistance to change.

Suggestions for overcoming resistance

- 1) Develop a clear picture of what will be achieved when the innovation has been implemented
- 2) Help individuals to see how they fit into the organization

- 3) Insure participation and interaction of stakeholders
- 4) Help individuals maintain basic control over their environment
- 5) Respond quickly to concerns expressed by individuals
- 6) Reduce complex innovations into manageable steps
- 7) Share information as soon as it becomes available
- 8) Break information into small, manageable parts
- 9) Demonstrate commitment
- 10) Develop ownership by allowing participation in the decision-making process
- 11) Leave as many choices for people as possible

INSTITUTIONALIZATION

Innovations, if properly implemented, will be institutionalized or continued. Institutionalization is achieved when yesterday's innovation becomes the status quo. Change poorly conceived or badly implemented is rarely continued. At times an innovation may appear to reach the institutionalization stage only to experience a slow fade out until little or nothing is left. When this occurs, the innovation was never truly institutionalized, but was simply a product of good management by individuals with a strong interest in the innovation.

Throughout the change process careful attention should be given to each of the following factors, as each has a significant effect on the institutionalization of innovations:

- 1) Maintain the interest level of the building administrator or central office. Without their continued support or advocacy, the innovation is likely to fail or be discontinued in favor of something else.
- 2) Develop a stable funding source. If innovations are supported wholly by outside resources, they will be eliminated when that source is no longer available.

3) Provide adequate staff development for new personnel. The high rate of staff turnover experienced in some schools requires that all new personnel be adequately trained if the innovation is to be continued. Training of new personnel cannot be left to chance.

4) Continue staff development support for existing staff. Existing personnel need to be up-dated and provided continued support. This training must be on-going, interactive and well thought out.

5) Base initial adoption on existing need, not opportunism or symbolism. If the innovation does not meet the needs of those asked to implement it, it will generate no long-term support

6) Spread responsibility for the innovation throughout the organization so no one person becomes indispensable. When only a few people are responsible for the success of an innovation, the innovation will be abandoned upon their departure. It is critical that as many people as possible have a piece of the action.

IMPACT

In the final analysis, the impact an innovation has on a school district or building can be measured in one of three ways:

- 1) The innovation has helped to improve teaching and learning
- 2) The innovation has made no significant difference to the organization
- 3) The innovation has simply made things worse

In order to make that determination, a district data base should be maintained to accurately measure desired outcomes. Too often districts continue to spend precious resources on past innovations that appear valuable but in reality make no contribution to teaching and learning. A systematic review of specific programs may be painful but will prove valuable when innovations that no longer serve the districts needs are eliminated.

Myths of Change

True or False

1. **Innovations are often additive rather than integrative and have little system-wide impact.**
True. New programs tend to exist in isolation. Consider, for example, the large number of special programs which are added to the system with a minimum amount of disturbance. When they are removed, the organization hardly notices.
2. **The most powerful internal factor which takes its toll on an institutionalized innovation is staff turnover.**
True. Effective change relies on interaction among users. Removal of key personnel weakens the support needed for new staff.
3. **Literature on effective school improvement suggests that to be truly effective, school planning should occur at the systemic (central district) level.**
False. Studies have shown that change is most effective when it involves all shareholders and is conducted at the site or building level.
4. **Resistance to change is irrational.**
False. There are a lot of good and understandable reasons for resistance to change. The administrator who is able to analyze the source of resistance is also the best person to identify solutions and thereby manage change smoothly and effectively.
5. **Persons entering the field of educational administration will need to demonstrate skills in the area of organizational change.**
True. Persons interested in becoming school administrators in the future will be required to demonstrate a basic understanding of proven competencies necessary to be a successful change agent.
6. **Not all school administrators will become expert change agents.**
True. While all administrators must become knowledgeable about change theory, becoming an expert takes considerable time, training and effort.
7. **Change must occur slowly to be effective and lasting.**
False. While the change process occurs over a period of time, change itself must be embraced full scale. Major, decisive steps need to be taken early. If this is not done, those involved in the change process will believe its implementation is purely symbolic.
8. **Teacher concerns may not be the same as those of building administrators.**
False. If building administrators have involved stakeholders at the adoption level, they will share the same concerns, as the innovations are based on identified needs. When teachers are not involved in the planning process, concerns differ greatly.

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ADDITIONAL RESOURCES ON EDUCATIONAL CHANGE

1 Crandall, D. P., Eiseman, J. W. & Seashore Louis, K. (1986). Strategic planning issues that bear on the success of school improvement efforts. Educational Administration Quarterly, 22(3), 21-53.

Findings are presented from studies providing guidance to policy-makers and administrators on issues related to school improvement. The first set of issues deals with deciding upon the nature of the desired changes. The second set of issues focuses on planning how to proceed. Crandall and his colleagues suggest that well-established goals and a vision of the specific improvement activities are needed before initiating strategic planning for school improvements.

2 Fullan, M. (1985). Change processes and strategies at the local level. The Elementary School Journal, 85(3), 391-421.

Fullan examined change processes at the school building level in order to formulate locally based strategies useful for improving schools and classrooms. The first section of analysis included examples of successful change processes. The second section contained six types of limitations of strategies for improvement: unsolvable problems, the nature/narrowness of goals, demographics, abstraction, misunderstanding and incompleteness. Alternative strategies were discussed in the final section. Fullan recommended the following guidelines for local districts and individual schools: 1) develop a plan, 2) invest in local facilitators, 3) allocate resources, 4) determine project scope, 5) consider principal's leadership role, 6) focus on instruction, 7) stress staff development, 8) ensure information gathering, 9) plan for continuation, and 10) review capacity for future change. Fullan adds that "strategies of the future should be based on collective professional development within the school rather than on individualistic professional autonomy or excessive dependence, which have characterized school norms and practices of the past."

3 Guskey, T. R. (1990). Integrating innovations. Educational Leadership, 47(5), 11-15.

Educators are exposed to more new ideas and innovations than ever before. Guskey suggests that innovations be integrated into an existing, familiar framework. He

identifies five guidelines for school leaders to use when combining innovative strategies: 1) find common goals and premises for each strategy in the improvement program, 2) understand the limits of each strategy, 3) choose complementary strategies, 4) adapt strategies to individual classroom and building conditions, and 5) a well-conceived combination of strategies will bring greater results than any single strategy. Guskey adds that "broadening the scope of planning and implementation will not only encourage the integration of innovations but will enhance opportunities for collegial sharing."

4 Loucks-Horsley, S. & Roody, D.S. (1990). Using what is known about change to inform the regular education initiative. Remedial and Special Education, 11(3), 51-56.

Loucks-Horsley and Roody review the literature on educational change over the past two decades and apply the findings to the Regular Education Initiative (REI). Innovations, such as the REI, must be well-defined, effective and "classroom friendly" to reach successful implementation. Specific messages for the REI include allowing time for change to evolve, creating concrete models for teachers and administrators that can be replicated, providing leadership and support for those involved in the change and using clear mandates to establish priorities. The authors conclude that "the REI will survive based on the degree to which teachers and administrators work together toward a common, well-defined goal."

5 Louis, K. S. (1986). Permanent Innovations. Paper presented at the 1986 Onderwijsresearchdagen in Utrecht, The Netherlands.

"It is easy to get a school to try an innovation or curriculum, but very difficult to keep it operating for a long time," says Louis. This "institutionalization problem" stems from a poor understanding of the process, which further limits "our ability to consider ways in which administrators may affect it." Louis outlines key factors influencing institutionalization: quality of the innovation, support/pressure from administrators, supportive environments, change processes that invite commitment, assistance and training, skillful leadership, and supportive, stable organizational settings. Louis suggests additional research on change management and intensive studies of schools to "educate policy-makers to the realities of change in schools."

6 Miles, M. B. (1983). Unraveling the mystery of institutionalization. Educational Leadership, 41(3), 14-19.

Miles explores the "mystery" surrounding the institutionalization of innovative programs. Following a two-year study of 12 elementary and secondary schools, a model of institutionalization was constructed using 20 variables: administrative commitment, pressure and support, mandating, user effort, assistance, percentage and stabilization of use, commitment, mastery, organizational change, institutionalization, environmental turbulence, career advancement motivation, stability of staff and leadership, and vulnerability. The model was used to show that "the enthusiasm, skill, and effectiveness of the innovation are insufficient conditions for institutionalization."

7 Educational Leadership titled its May, 1990 issue, "Creating a Culture for Change." Selected articles include:

Fullan, M.G., Bennett, B. & Rolheiser-Bennett, C. (1990). Linking classroom and school improvement. Educational Leadership, 47(8), 13-19.

Goldman, C. & O'Shea, C. (1990). A culture for change. Educational Leadership, 47(8), 41-43.

Miles, M. B. & Seashore Louis, K. (1990). Mustering the will and skill for change. Educational Leadership, 47(8), 57-61.

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